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PATENT 3273-0181P

# IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant:

Eiji OHARA et al.

Conf.:

3197

Appl. No.:

10/688,926

Group:

1625

Filed:

October 21, 2003

Examiner: B. DENTZ

For:

PROCESS FOR PRODUCING EPSILON-

CAPROLACTONE

## INFORMATION DISCLOSURE STATEMENT

(SUBMISSION AFTER FILING OF AN APPLICATION BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE OR CONCURRENTLY WITH A RULE 1.114 RCE APPLICATION)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

May 26, 2004

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

## I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-1449(s), attached hereto.

#### II. COPIES (check at least one box)

- a. This application was filed before June 30, 2003.

  Accordingly, submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. A This application was filed on or after June 30, 2003. Accordingly, copies of cited U.S. patents and patent application publications therefore are not included. Copies of foreign patent documents and non-patent literature are included.

c. Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

# III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

#### a. \(\bigcap\) DOCUMENTS IN THE ENGLISH LANGUAGE

The patents, publications, or other information listed on the attached PTO 1449 are in the English language and therefore, do not require a statement of relevancy.

# b. | DOCUMENTS NOT IN THE ENGLISH LANGUAGE

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

# c. ENGLISH LANGUAGE SEARCH REPORT

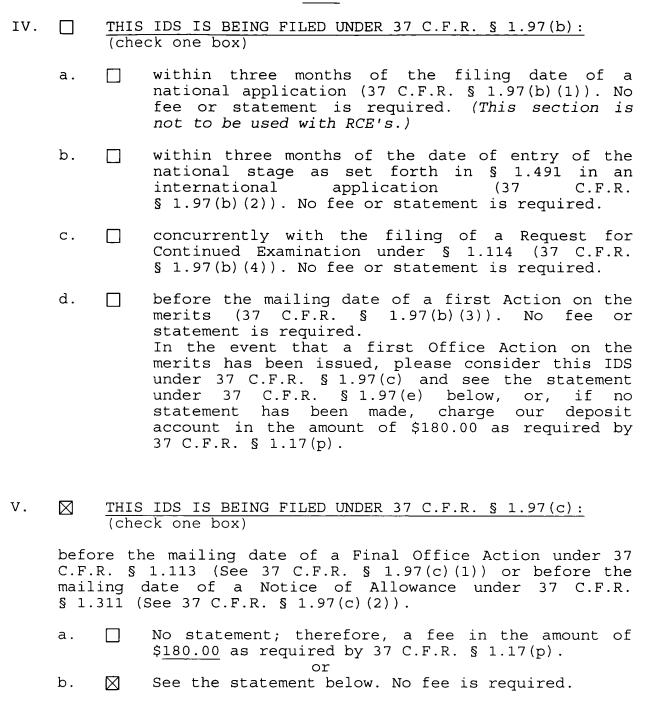
An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(III)(A)(3).

#### 

The following additional information is provided for the Examiner's consideration.

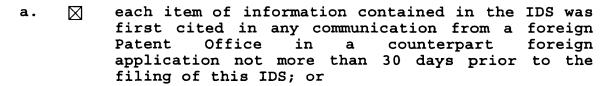
JP 2002-179667 was cited in the IDS filed herein on October 21, 2003.

#### **FEES**



# VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that



- b. 
  each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- c. no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.
- d. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in counterpart a application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES (check one box)									
	A check in the amount of $$180.00$ as required by 37 C.F.R. $$1.17(p)$ is enclosed for the above-identified fee.								
	Please charge Deposit Account No. 02-2448 in the amount required by 37 C.F.R. § 1.17(p) for the above-indicated fee. A triplicate copy of this paper is attached.								
$\boxtimes$	No fee is required.								
he/she is determined the PTO is	he Examiner has any questions concerning this IDS, requested to contact the undersigned. If it is that this IDS has been filed under the wrong rule, requested to consider this IDS under the proper rule the appropriate fee to Deposit Account No. 02-2448.								
If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.									
	Respectfully submitted,								
	BIRCH, STEWART, KOLASCH & BIRCH, LLP								
	By A 28,78   Raymond C. Stewart, #21,066								
RCS/RG/bsh 3273-0181F									
Attachment	(s): 🛛 PTO-1449								

(Rev. 05/14/2004)

□ Documents

☐ Fee ☐ Other:

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Form PTO-1449							8,926				
INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Eiji OHARA et al.							
(Use several sheets if necessary)					October 21, 20	GROUP 1625					
U.S. PATENT DOCUMENTS											
EXAMINER INITIAL	DOCUMENT NUMBER		Kind	DATE	NAME	CLASS	SUB CLASS		DATE OPRIATE		
	US 4,341,709		1	1982-07-27	Hofen et al.	<b>†</b>	<del></del>	<b>†</b>			
	US					<u> </u>					
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FOREIGN PATENT DOCUMENTS											
	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO			
	JР	53-34789	1	1978-03-31	JAPAN	1		Abs.			
	EP	0 972 771	A1	2000-01-19	EPO						
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